	1
1	UNITED STATES DISTRICT COURT
2	DISTRICT OF MINNESOTA
3	
4	In Re:
5	Bair Hugger Forced Air Warming
6	Products Liability Litigation
7	
8	This Document Relates To:
9	All Actions MDL No. 15-2666 (JNE/FLM)
10	
11	
12	
13	DEPOSITION OF TIMOTHY A. ULATOWSKI
14	VOLUME I, PAGES 1 - 414
15	JULY 7, 2017
16	
17	
18	(The following is the deposition of TIMOTHY
19	A. ULATOWSKI, taken pursuant to Notice of Taking
20	Deposition, via videotape, at the Renaissance
21	Arlington Capital View Hotel, 2800 Potomac Avenue,
22	Arlington, Virginia, commencing at approximately 9:02
23	o'clock a.m., July 7, 2017.)
24	
25	

		2
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14	Ronald M. Huber, Videographer	
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16		
17		
18		
19		
20		
21		
22		
23		
24		
25		

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12
                        Okay. And then you were also a director in
                  Q.
09:07:40
          1
09:07:40
             the Center for Devices and Radiological Health?
          2
                        I was -- I was one of half a dozen
09:07:43
                  Α.
             directors, office directors.
09:07:45
09:07:46
          5
                  Q.
                        Right. A director?
09:07:47
                        I was a director.
                        Okay. After leaving the FDA, you started
09:07:48
                  Q.
             testifying in numerous lawsuits relating to medical
09:07:52
             devices.
09:07:56
                        "Numerous" meaning --
09:07:57
         10
                  Α.
09:07:59
                        More than one.
         11
                  Q.
09:08:00
         12
                  Α.
                        Yes.
                        Okay. In fact, a significant source of your
09:08:00
         13
                  Q.
09:08:04
             income, to come to courtrooms and rooms like this and
         14
             give testimony that medical devices which are alleged
09:08:09
         15
09:08:12
         16
             to be unsafe are in fact safe.
                        MS. EATON: Object to the form of the
09:08:14
         17
09:08:15
             question.
         18
                        Well the -- the aspects of the case are --
09:08:16
         19
             are unique in every instance in regard to what are the
09:08:19
         20
             issues at hand, and I testify for -- for defendants
09:08:21
         21
09:08:25
         22
             and plaintiffs.
09:08:26
                        Well when you're on the plaintiff's side,
         23
             it's a medical device company though; right?
09:08:27
         24
09:08:29
         25
                  Α.
                        Not always, no.
```

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28
             "here" meaning in that case -- "to testify as an
09:22:54
          1
09:22:56
             expert in any sort of medical area, " and I said, "No,
          2
             I am not."
09:22:59
09:23:00
                  Ο.
                        Okay.
09:23:00
                  Α.
                        Well that was that case under those
09:23:03
             conditions, under that -- that set of evidence
             with -- given my opinions that I expressed in that
09:23:06
         7
             case. Today, here we are in July of -- of 2017,
09:23:10
             different set of documents, different set of
09:23:15
             experiences. But I have my opinions expressed in my
09:23:16
         10
09:23:19
             report.
         11
                        Okay. So as opposed to in I-Flow, today in
09:23:19
         12
                  Ο.
             this case with these documents, with your opinions
09:23:23
         13
             today, are you giving medical opinions?
09:23:25
         14
                        I don't have any medical opinions in my
09:23:28
         15
09:23:31
             report.
         16
                        So that's a no; correct?
09:23:32
         17
                  Ο.
09:23:34
                  Α.
                        That's --
         18
                        It's as what I stated.
09:23:35
         19
         20
                        I don't -- I don't understand because I
09:23:36
                  0.
             asked you if you were giving medical opinions here
09:23:38
         21
09:23:41
         22
             today in this room -- you, individual, Ulatowski --
             and you told me about your report, which leads me to
09:23:44
         23
             suggest that there may be some disconnect between what
09:23:47
         24
09:23:50
         25
             your report contains and what you plan to testify
```

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30
             today? Are you going to be giving any opinions like
09:24:57
          1
09:25:01
         2
             that?
                        I -- none of my --
09:25:01
                        All my opinions are regulatory-focused. I
09:25:04
09:25:08
         5
             don't provide comment on any particular engineering
             test methodologies, except in Dr. David I provided an
09:25:15
             overview comment of his approach in regard to his
09:25:19
         7
             report. But other than that, certainly I think my
09:25:22
             report discusses aspects of disinfection of medical
09:25:28
             equipment which has a methodology to it, so it -- it's
09:25:34
         10
09:25:37
             kind of -- it depends as to what I'm asked and what's
         11
             reflected in my report.
09:25:43
         12
                        So your expertise changes from the type of
09:25:44
         13
                  Q.
             questions you're asked is what you're saying.
09:25:47
         14
                        MS. EATON: Object to the form of the
09:25:48
         15
09:25:49
         16
             question.
09:25:50
                  Α.
                        No.
                             I have expertise in -- in areas that
         17
09:25:53
             questions may provoke an answer that rely upon my
         18
             expertise in those areas.
09:25:57
         19
                        Okay. For instance, one of the things that
09:25:58
         20
             is involved in this case you understand is a surgery;
09:26:00
         21
09:26:02
        22
             right?
09:26:02
                        Is -- is surgery.
         23
                  Α.
                        Correct. Surgeries are involved in this
09:26:04
         24
                  Ο.
09:26:06
         25
             case.
```

31 Α. Yes. 09:26:06 1 09:26:07 2 0. Okay. You don't hold yourself out as an expert in any kind of surgical areas such as 09:26:08 orthopedic surgery. 09:26:12 09:26:13 Α. No. 09:26:13 Ο. You're not going to be giving the jury an opinion within a reasonable degree of medical 09:26:16 7 certainty that there is valid scientific evidence of 09:26:20 probable health benefits from the use of the Bair 09:26:22 Hugger in orthopedic surgeries. 09:26:25 10 09:26:36 Well I -- I allude to that in my report in 11 regard to benefit and risk, so inasmuch as my report 09:26:41 12 touches upon benefit aspects and -- and risk, which is 09:26:46 13 reflected in clinical studies, published data, my 09:26:50 14 report is what it is. 09:26:55 15 09:26:56 Well right. And that report does not 16 contain an opinion to a reasonable degree of medical 09:26:58 17 09:27:02 certainty that there is valid scientific evidence of a 18 09:27:05 probable health benefit from the use of the Bair 19 Hugger in orthopedic surgeries. 09:27:08 20 In orthopedic surgeries. Well I quess I 09:27:11 21 09:27:13 22 have to look at my report because I do discuss valid scientific evidence and I do discuss the relationship 09:27:16 23 with certain data submitted to FDA as consisting of 09:27:21 24 09:27:25 25 valid scientific evidence. So again, it's a -- it's

32 the question, it's the specifics that you may ask. 09:27:28 1 09:27:30 Well let's dive into that. In terms of you 2 giving opinions that there is, within a reasonable 09:27:33 degree of medical certainty, valid scientific evidence 09:27:35 09:27:38 5 of probable health benefits from the use of the Bair 09:27:40 Hugger in orthopedic surgeries, what is that scientific evidence? 09:27:43 7 Well it wouldn't be -- let me clarify. 09:27:43 Α. Ιt wouldn't be --09:27:46 I think in my report as I characterized it, 09:27:48 10 09:27:51 again, from a regulatory point of view, it was valid 11 scientif -- scientific evidence applied to the Bair 09:27:54 12 Hugger in regard to its regulatory significance, not 09:27:58 13 medical significance. 09:28:03 14 Okay. So in other words, you may be giving 09:28:03 15 09:28:06 us opinions about whether or not the defendant 16 complied with the regulatory scheme that you oversaw 09:28:10 17 during your many years at the FDA, but at the same 09:28:12 18 time you will not be giving an opinion, a medical 09:28:15 19 opinion, about the benefits of a Bair Hugger in 09:28:18 20 orthopedic surgery. Is that fair? 09:28:20 21 09:28:23 22 Α. Generally, no. 09:28:24 Okay. Just because that may be a little --23 on the record, are you -- are you disagreeing and 09:28:28 24 09:28:31 25 saying you will be giving medical opinions on the

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benefits of the Bair Hugger in orthopedic surgery or
09:28:33
          1
09:28:35
             you will not be giving those medical opinions?
         2
                        I will not. But it depends on -- again, on
09:28:37
             the question asked and whether it touches upon
09:28:41
09:28:43
          5
             expertise I may have.
09:28:44
                        Okay. Well in terms of the question I just
             asked and when I asked you for the scientific
09:28:46
         7
             evidence, do you have a medical opinion about the
09:28:50
             benefits of the Bair Hugger in orthopedic surgeries?
09:28:52
                             I've refer -- referenced other groups
09:28:57
         10
             and persons who have commented on that as a basis for
09:29:02
         11
             certain opinions I have.
09:29:06
         12
                        And there are other experts in this case, I
09:29:06
         13
09:29:08
             assume you know from reading your reports, who have
         14
             given medical opinions and are giving medical opinions
09:29:11
         15
09:29:14
             on behalf of 3M; correct?
         16
                  Α.
                        Yes, I know that.
09:29:15
         17
                        Okay. You would agree with me that in terms
09:29:16
         18
                  0.
             of whether the Bair Hugger has medical benefit in an
09:29:19
         19
             orthopedic surgery, witnesses such as that are far
09:29:22
         20
             better addressed to answer that question than somebody
09:29:26
         21
09:29:30
         22
             with your lack of medical training.
                        MS. EATON: Object to the form of that
09:29:30
         23
             question.
09:29:32
         24
09:29:32
                        I would -- I would defer to other defendant
         25
                  Α.
```

		34
09:29:35	1	experts that have more direct experience in that
09:29:38	2	regard.
09:29:39	3	Q. Okay. By the same token, you will not be
09:29:43	4	giving the jury an opinion to a reasonable degree of
09:29:46	5	medical certainty about the degree of medical risk
09:29:47	6	from the use of the Bair Hugger in orthopedic
09:29:49	7	surgeries.
09:29:50	8	A. Medical risk?
09:29:52	9	Q. Correct.
09:29:53	10	A. I would defer to other defendant experts in
09:29:56	11	regard to that.
09:29:56	12	Q. You don't hold yourself out as an expert in
09:29:59	13	statistics or statistical analysis; correct?
09:30:01	14	A. No, I do not.
09:30:04	15	Q. Okay. Now before you accept any litigation
09:30:07	16	work, do you agree with me you have to make sure you
09:30:10	17	don't have any conflicts of interest relating to the
09:30:12	18	work?
09:30:12	19	A. That's correct.
09:30:13	20	Q. I'm wondering: Did you contact anybody at
09:30:17	21	the FDA, like an ethics officer, about your testimony
09:30:19	22	in this case?
09:30:20	23	A. I have.
09:30:20	24	Q. Okay. And can you tell me
09:30:21	25	A. In this case?
	l	

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43
             that this product should not have cleared 510(k), both
09:39:54
          1
             as the Bair Hugger 500 and 750 series.
09:39:58
         2
                        MS. EATON: Object to the form of the
09:40:02
          3
             question.
09:40:02
09:40:03
         5
                  Α.
                        Well I don't think he comes out and says
09:40:06
             that directly. I think he says the -- the process
             was -- was troubling in one respect or another. Of
09:40:08
         7
             course I found otherwise, but -- but I -- I just -- I
09:40:11
             just disagree with his perspective on the 510(k).
09:40:17
                        Sure. We'll get to all of that.
09:40:21
         10
                  Q.
09:40:23
                        Sure.
         11
                  Α.
                        All I'm trying to set up -- and I'm going to
09:40:25
         12
                  Ο.
             use your word -- is you understand Dr. David is
09:40:26
         13
             critical in that he calls the regulatory history of
09:40:28
        14
             this product alarming; correct?
09:40:31
         15
09:40:32
                        MS. EATON: Object to the form of the
         16
             question. That's not what he said.
09:40:33
        17
09:40:34
                        Well I mean "troubling" was --
         18
                  Α.
                        "Troubling," I'm sorry, your word was
09:40:35
         19
                  0.
             "troubling." Let's do it again, put it on the record
09:40:37
         20
             again.
09:40:41
         21
                        You understand that Dr. David in his report
09:40:41
         22
09:40:41
             criticizes the regulatory process as troubling.
         23
09:40:44
         24
                  Α.
                        Yes.
09:40:45
         25
                        Okay. But in this case we don't have the
                  Q.
```

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44
             kind of conflict we were just talking about because
09:40:48
          1
09:40:50
             you were never involved in any kind of 510(k) approval
         2
             for this product; right?
09:40:53
                        Clearance for the product, no.
09:40:54
                  Α.
09:40:56
                        And again, let me go ahead and make that
                  Q.
09:40:59
             clear for the record. And please keep correcting me
             if I use the wrong word today because eventually you
09:41:02
         7
             will probably drill it into my head. But in terms --
09:41:06
             we don't --
                        In this case we don't have the same conflict
09:41:08
        10
             we had just been talking about where you may have a
09:41:10
         11
             plaintiff alleging something about 510(k) when you
09:41:12
        12
             were involved in it. In this case you had no
09:41:15
        13
             involvement, did -- made no approvals in 510(k);
09:41:17
        14
             correct?
09:41:19
         15
09:41:20
                        510(k) clearances, yes.
         16
                  Α.
                        510(k) clearances.
09:41:22
         17
                  Q.
                        Right.
09:41:23
         18
                  Α.
                        Okay. So the poten --
09:41:24
         19
                  Q.
                        According to you, there is no potential
09:41:24
         20
             conflict because there is no approval letter from
09:41:26
        21
09:41:31
         22
             Timothy Ulatowski regarding the Bair Hugger.
09:41:32
         23
                        Or excuse me.
                        MS. EATON: Object to the form of the
09:41:32
         24
09:41:33
         25
             question.
```

			51
09:46:50	1	kind of a	ction is that?
09:46:51	2	Α.	An advisory action.
09:46:52	3	Q.	Okay. And and an advisory action is
09:46:56	4		Those are actions that you had
09:46:57	5	responsib	ility at during what approximate time of your
09:47:00	6	tenure?	
09:47:00	7	Α.	2003 to 2011.
09:47:02	8	Q.	Okay. During that entire period of that
09:47:04	9	space, yo	u were involved in advising companies if they
09:47:09	10	were perh	aps in violation or potential violation of
09:47:12	11	regulatio	ns.
09:47:13	12	Α.	Correct.
09:47:13	13	Q.	Okay. One of the people that you made an
09:47:17	14	advisory	action to is your current client.
09:47:22	15	Α.	Correct.
09:47:23	16	Q.	That
09:47:25	17		And that advisory letter concerned adverse
09:47:28	18	events.	
09:47:29	19	Α.	Correct.
09:47:30	20	Q.	Those adverse events, those were burns;
09:47:33	21	right?	
09:47:33	22	A.	That was associated, yes. Right.
09:47:36	23	Q.	And there were burns that had not been
09:47:40	24	properly	reported by the company.
09:47:41	25	Α.	There were reporting issues that were

		52
09:47:43	1	observed.
09:47:44	2	Q. You're familiar with what I say when I say
09:47:47	3	MDR?
09:47:47	4	A. Correct.
09:47:48	5	Q. Can you explain to the jury real quick what
09:47:50	6	an MDR is.
09:47:51	7	A. Medical device report. It's a report made
09:47:54	8	to FDA by manufacturers, by healthcare facilities, by
09:47:59	9	importers related to deaths or serious injuries
09:48:02	10	that or malfunctions that that may be related or
09:48:06	11	associated with a medical device.
09:48:08	12	Q. That may be related; correct?
09:48:09	13	A. Correct.
09:48:10	14	Q. Okay. In other words, if a a
09:48:13	15	manufacturer has information in its possession that a
09:48:16	16	device is potentially involved in an adverse event,
09:48:20	17	under certain circumstances that has to be reported.
09:48:23	18	A. If there's reasonable evidence to that fact,
09:48:25	19	yes.
09:48:25	20	Q. Okay. In the case of your advisory letter,
09:48:30	21	there were adverse events that legally should have
09:48:33	22	been reported to the FDA but were not reported to the
09:48:35	23	FDA by Arizant; correct?
09:48:38	24	A. As I recall, there were observations related
09:48:40	25	to late reports or non-reports, yes. A few.

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53
                        You would agree with me that the bulk of
                   Q.
09:48:46
          1
             your opinions in this case focus on FDA regulations,
09:48:49
          2
             FDA procedures such as the 510(k) clearance process,
09:48:51
             FDA communications, defendants' compliance with
09:48:55
09:49:00
          5
             regulatory duties, these are the general things you're
09:49:04
             testifying about.
                        That's the bulk of it, although there's a --
                   Α.
09:49:04
          7
             a -- I'll call it a smattering of -- of expertise I --
09:49:08
             I offer in regard to a particular area of expertise I
09:49:13
             have in regard to disinfection, sterilization for
09:49:16
         10
09:49:19
             example.
         11
                        Okay. For my next series of questions I
09:49:19
         12
                   Ο.
             want to limit us to the parts and opinions of your
09:49:22
         13
             report that deal with the 510(k) process. Okay?
09:49:24
         14
09:49:28
         15
                   Α.
                        Okay.
09:49:29
                        From the way I understand it, 510(k) is a
         16
             determination by the FDA that a product being offered
09:49:32
         17
             in the application is substantially equivalent to a
09:49:36
         18
             previously-legally-marketed product.
09:49:40
         19
                        That's correct.
09:49:42
         20
                   Α.
09:49:43
         21
                   Q.
                        Okay.
09:49:43
         22
                   Α.
                        That is also Class II and subject to legal
             marketing, as you said.
09:49:47
         23
09:49:49
         24
                   0.
                        Okay.
                        For classification number.
09:49:49
         25
                   Α.
```

		54
09:49:51	1	Q. You would agree that your opinions in this
09:49:53	2	case both implicate the 510(k) clearance process in
09:49:56	3	general and with respect to Bair Hugger specifically.
09:49:59	4	A. Correct.
09:49:59	5	Q. Okay. You would also say that the 510(k)
09:50:05	6	process speaks to or relates to safety and efficacy.
09:50:10	7	A. Yes. It must.
09:50:11	8	Q. Okay. In fact, you have testified before
09:50:17	9	and I believe you'll be testifying today that 510(k)
09:50:19	10	clearance is a determination of safety and
09:50:21	11	effectiveness.
09:50:22	12	A. No, I am not.
09:50:23	13	Q. Okay. That's not going to be your opinion
09:50:25	14	today.
09:50:25	15	A. No.
09:50:26	16	Q. Okay. I notice your report provides a
09:50:31	17	narrative description of the FDA processes for
09:50:33	18	regulating medical devices; is that correct?
09:50:35	19	A. Correct.
09:50:36	20	Q. It has an overview of forced-air warming
09:50:40	21	devices generally?
09:50:41	22	A. Generally, yes.
09:50:42	23	Q. Okay. It has discusses a history of
09:50:45	24	Arizant's 510(k) submissions?
09:50:47	25	A. Right, to the degree that I could discover

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55
             that on FDA's website.
          1
09:50:49
09:50:50
                        Okay. Now all of those things we just
         2
             talked about, these opinions that you hold, you will
09:50:57
             agree with me multiple federal courts have excluded
09:50:59
09:51:03
         5
             those opinions as improper.
                        MS. EATON: Object to the form of the
09:51:04
09:51:05
             question.
         7
                        No, that's incorrect.
09:51:05
                  Α.
                        Okay. Do you remember in --
09:51:07
                  Ο.
                        You remember the Bellew versus Ethicon case?
09:51:08
         10
09:51:11
                  Α.
                        Well let me -- let me try and clarify what I
         11
             just said. I know that certain judges have excluded
09:51:16
         12
             testimony on 510(k)s simply because they -- they don't
09:51:21
         13
             want to talk about federal regulations and 510(k)s.
09:51:25
         14
             It's not me, it's not my report, it's just an overall
09:51:28
         15
09:51:32
             decision that we're not going to talk about this
         16
09:51:35
             topic.
         17
                        You don't believe that federal courts have
09:51:36
         18
                  Ο.
             stated that you have stated the law incorrectly?
09:51:38
         19
                        Well if you let me finish -- you jumped in.
09:51:40
         20
                  Α.
                        The other half has been in a case people
09:51:44
         21
09:51:49
         22
             have brought up, Medtronic/Lohr, for example, and the
             Supreme Court's decision on PMAs, premarket approval
09:51:54
         23
             applications versus 510(k)s, although the fact is that
09:51:58
        24
09:52:03
         25
             I've recognized the regulatory standard for PMAs
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58
             question.
          1
09:54:20
                        I -- I don't recall that specific wording,
09:54:20
         2
             but that sounds like a legal approach.
09:54:22
                        Today we're not going to have that kind of
                  Ο.
09:54:27
09:54:30
          5
             opinion.
                        I'm not a lawyer. I'm not going to --
09:54:31
                        I haven't proposed my opinions in those
09:54:33
             in -- in the framework of a -- of a -- of a
09:54:35
             litigation -- legally-based litigation aspect.
09:54:38
                        And therefore you're not going to be giving
09:54:42
         10
09:54:44
             an opinion about whether the design of the Bair Hugger
         11
             device was negligent or non-negligent.
09:54:46
         12
                        Well I guess I have to understand the
09:54:54
         13
                  Α.
             parameters of the definition and what that entails.
09:54:56
         14
09:55:00
         15
             You know, I understand that from a -- from a --
09:55:04
                        I understand at least that from a -- from a
         16
             legal position that there's -- one has to be very
09:55:06
         17
09:55:10
             careful in how one approaches the negligence and
         18
             defect in regard to how that is defined in a
09:55:12
         19
             particular state or particular MDL versus as FDA may
09:55:16
         20
             define safety and effectiveness and how that -- those
09:55:19
         21
             things differ.
09:55:23
         22
                               Similarly, likewise -- because you
09:55:23
                        Okay.
         23
             brought up the term, it's going to be my next
09:55:26
         24
09:55:29
         25
             question -- is about the concept of defect. And are
```

59 you going to be giving an opinion in this case that 09:55:31 1 the Bair Hugger is or is not defective? 09:55:33 2 I haven't rendered an opinion on that. 09:55:36 Α. 09:55:38 0. Okay. 09:55:39 My position is, from a reg -- regulatory Α. 09:55:42 perspective, were these products found substantially equivalent or the basis for ---for those findings, so 09:55:45 7 on and so forth. 09:55:51 Okay. We had talked a little bit earlier 09:55:52 0. about the 510(k) clearance process and about clearance 09:56:00 10 being granted when a product is found to be 09:56:04 11 substantially equivalent to a previously-legally-09:56:06 12 marketed device. Do you remember that? 09:56:09 13 09:56:11 14 Α. Yes. 09:56:11 15 Okav. In terms of what "substantially Ο. 09:56:15 equivalent" means, you would agree that that means the 16 product has the same intended use and same 09:56:18 17 technological characteristics, or it may have 09:56:22 18 differences but those do not raise new questions of 09:56:25 19 safety or effectiveness. 09:56:28 20 That's how the statute and -- and --09:56:29 21 09:56:32 22 is embedded in the regulations. 09:56:34 Okay. You would also agree with me that the 23 510(k) process is a very liberal process in regards to 09:56:36 24 09:56:40 25 the uses of its products.

			65
10:02:50	1	Α.	Right, yes. The IOM, yes.
10:02:52	2	Q.	And then as soon as IO
10:02:55	3		Like when the IOM came out is roughly
10:02:57	4	concurren	t with when you left the agency.
10:03:00	5	Α.	When the report came out, yes.
10:03:01	6	Q.	Correct. That report
10:03:02	7		MS. EATON: Can I just clarify? You said
10:03:05	8	2001, and	I think you meant 2011.
10:03:08	9		MR. BANKSTON: That is true.
10:03:09	10		THE WITNESS: Yeah. I let that go by.
10:03:09	11		MS. EATON: I just want that to be clear on
10:03:11	12	the record	d.
10:03:11	13	Q.	Yeah. You left the agency in 2011.
10:03:14	14	Α.	'11, yes.
10:03:14	15	Q.	That's when the IOM report was published.
10:03:17	16	Α.	It was thereabouts, yes.
10:03:19	17	Q.	Okay. That IOM report states/finds that the
10:03:21	18	510(k) pro	ocess was not designed to determine whether a
10:03:23	19	new device	e provides a reasonable assurance of safety.
10:03:29	20	Α.	Yeah. The the IOM
10:03:32	21		There's only two real conclusions in the IOM
10:03:36	22	report, a	nd one of them is the 510(k) process was not
10:03:39	23	designed	to evaluate safety and effectiveness in
10:03:44	24	certain ca	ases, but the fact of the matter is, as FDA
10:03:49	25	has implem	mented the process, it certainly had to

		72
10:10:16	1	A. Yes.
10:10:16	2	Q. Okay. You'll agree and I have some
10:10:19	3	language there I believe you'll see there on page
10:10:21	4	65 and you'll agree that the working group found
10:10:26	5	that the Center for Devices and Radiological Health
10:10:29	6	does not have an adequate mechanism to regularly
10:10:32	7	assess the quality, the consistency, and the
10:10:35	8	effectiveness of the 510(k) program. I'm assuming you
10:10:39	9	were made aware of that.
10:10:40	10	A. Yeah. Let me just read it. I I recall
10:10:42	11	it.
10:10:50	12	Yes, I understand this. I I think it's
10:10:53	13	not quite accurate in that CDRH actually had gone
10:11:01	14	through
10:11:01	15	If you were there long enough you know,
10:11:04	16	37 years you would have been aware, and these I
10:11:09	17	don't think these people have awareness of it, but FDA
10:11:12	18	had had been through previous cycles of analysis of
10:11:16	19	the 510(k) program, had undergone a an intensive
10:11:22	20	evaluation of the 510(k) program and consistency in
10:11:26	21	the 510(k) program and retrospective analysis of prior
10:11:31	22	510(k) decisions, one of them is called the Temple
10:11:34	23	Report, and I think what this group was saying, we
10:11:38	24	need to build in that sort of review process more
10:11:42	25	frequently and more systematically than what we've

		76
10:14:48	1	Q. Sure. I mean the FDA is rigorous about
10:14:50	2	this. It values that support.
10:14:52	3	A. Correct.
10:14:52	4	Q. And one of those people would be Dr. Yadin
10:14:56	5	David.
10:14:57	6	A. I comment on my understanding of
10:15:00	7	his, based on his CV that he produced and my fading
10:15:05	8	knowledge of my interaction with him, what his
10:15:08	9	experience was.
10:15:08	10	Q. Uh-huh. He was a private-sector consultant
10:15:10	11	that was engaged by the FDA.
10:15:13	12	MS. EATON: Object to the form of the
10:15:15	13	question.
10:15:15	14	A. Well he attests to the fact that he's on the
10:15:20	15	GMP committee. I don't think he attests to anything
10:15:22	16	more.
10:15:22	17	Q. He's on several committees according to his
10:15:25	18	CV; isn't he?
10:15:26	19	A. Not FDA committees
10:15:27	20	Q. Okay.
10:15:28	21	A is my understanding from his CV.
10:15:32	22	Q. Okay. You'll agree with me that it's the
10:15:34	23	manufacturer, not the FDA, who is primarily
10:15:37	24	responsible for the assurance of safety of medical
10:15:39	25	devices.

		77
10:15:45	1	A. Yes. The regulations are geared to the fact
10:15:47	2	that the manufacturer must follow regulations in order
10:15:52	3	to design and manufacture and monitor the devices,
10:15:56	4	with the surveillance and oversight of FDA.
10:15:58	5	Q. Right. The FDA can't monitor each and every
10:16:01	6	manufacturer and the marketing of each and every
10:16:04	7	product; can it?
10:16:04	8	A. No. That's why FDA prioritizes its
10:16:07	9	monitoring and its evaluation of devices.
10:16:20	10	Q. One of the opinions you give in your report
10:16:24	11	is that the FDA must consider issues of safety and
10:16:26	12	effectiveness when comparing any differences in
10:16:31	13	indications for use in claims. You'd agree with that?
10:16:33	14	A. Correct.
10:16:33	15	Q. Okay. And and I think, as we saw from
10:16:36	16	your I-Flow testimony, you'll agree that prior
10:16:38	17	clearances have just as much importance and effect as
10:16:41	18	current clearances.
10:16:42	19	MS. EATON: Object to the form of the
10:16:44	20	question.
10:16:44	21	A. Yes. They have an impact on assessing
10:16:47	22	indications and intended use.
10:16:48	23	Q. The prior clearances have just as much
10:16:54	24	importance as the current submission.
10:16:56	25	MS. EATON: Object to the form of the

		87
10:26:24		
10:26:27	2	
10:26:29	3	
10:26:32	4	
10:26:37	5	
10:26:38	6	OR, do you know
10:26:41	7	anything about that product?
10:26:42	8	A. Yeah. Variation of the 500 probably, yes.
10:26:47	9	Q. Okay. When the FDA became aware that the
10:26:49	10	IFUs were being expanded to include OR usage, part of
10:26:55	11	the job then of the FDA would be to determine if that
10:27:00	12	expansion of IFUs presented any new questions of
10:27:04	13	safety.
10:27:04	14	MS. EATON: Object
10:27:05	15	A. Right.
10:27:05	16	MS. EATON: to the form of the question.
10:27:06	17	A. Yes. That would be an element for FDA to
10:27:09	18	consider. And we know that in the 505 they actually
10:27:12	19	considered the flip side, which was home use, as being
10:27:15	20	potentially significant. So yes, FDA was analyzing
10:27:20	21	the the the possibilities for use of the
10:27:24	22	product.
10:27:24	23	Q. Okay. What did the FDA do to determine that
10:27:29	24	the Bair Hugger's expansion of use into the OR did not
10:27:33	25	pose any new questions of safety?

88 Well we don't have available to us the Α. 10:27:37 1 10:27:40 2 reviews by FDA, so we don't -- we cannot benefit from that, but as a -- as a matter of policy and procedure, 10:27:46 FDA would be required to evaluate that, bring to -- to 10:27:49 10:27:53 5 bring to bear not only what's been submitted but also 10:27:56 any other information it may bring to bear in its knowledge of patient warming devices being used in the 10:28:00 7 So -- so FDA can bring to bear, as I did numerous 10:28:03 8 OR. times over many years and as I trained people to do, 10:28:08 other submissions, literature, expert opinion of -- of 10:28:11 10 10:28:16 individuals on staff or advisory committee members. 11 So it's -- it's a very -- it's a more comprehensive 10:28:19 12 input source than just a submission. 10:28:23 13 I -- I'm quessing from your comments that 10:28:25 14 it -- it would be difficult for you to talk about what 10:28:28 15 10:28:32 happened in terms of the 500 series in terms of its 16 510(k) clearance process because, according to you, we 10:28:35 17 10:28:38 don't have the decision-making documentation produced 18 in this case or available for your review for you to 10:28:42 19 be able to discuss those matters. 10:28:46 20 MS. EATON: Object to the form of the 10:28:47 21 10:28:48 22 question. Well I can't discuss the reviews without 10:28:48 23

having them, and having them would shed more light on

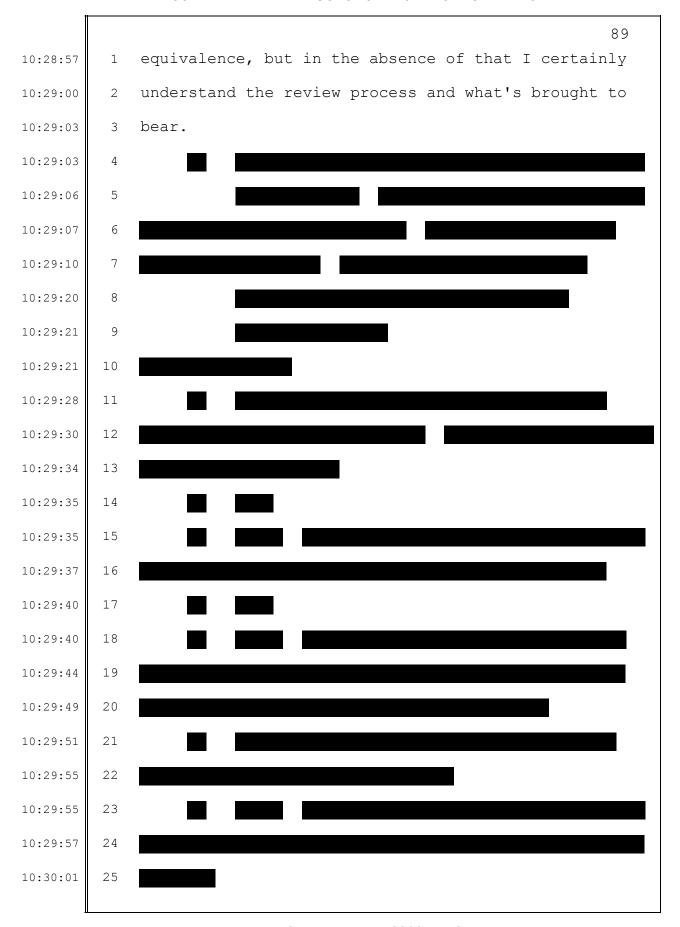
FDA's foundation for their finding of substantial

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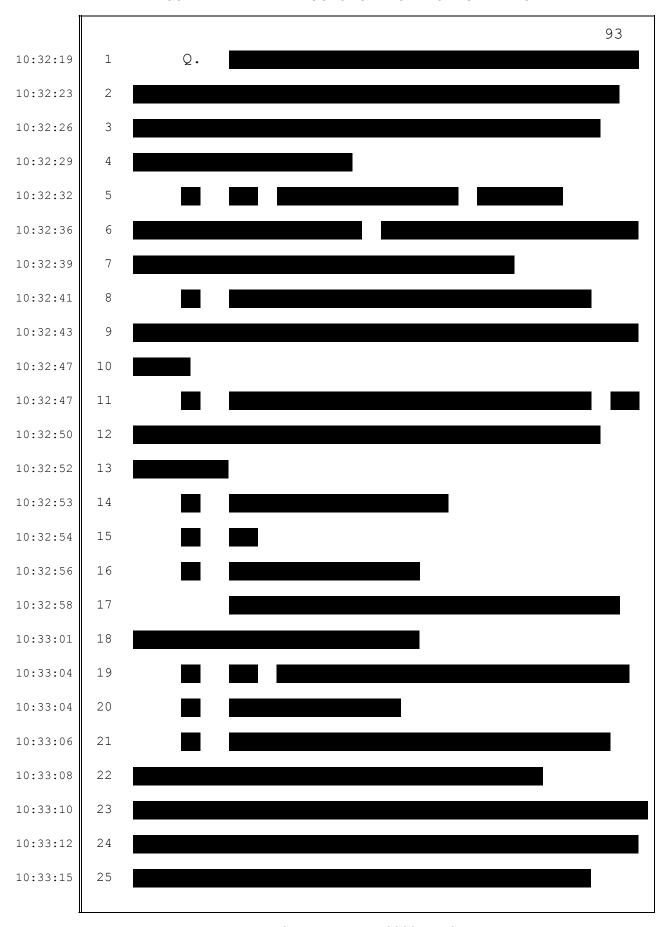
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CASE 0:15-md-02666-JNE-DTS Doc. 764 Filed 09/12/17 Page 26 of 41 CONFIDENTIAL - SUBJECT TO PROTECTIVE ORDER



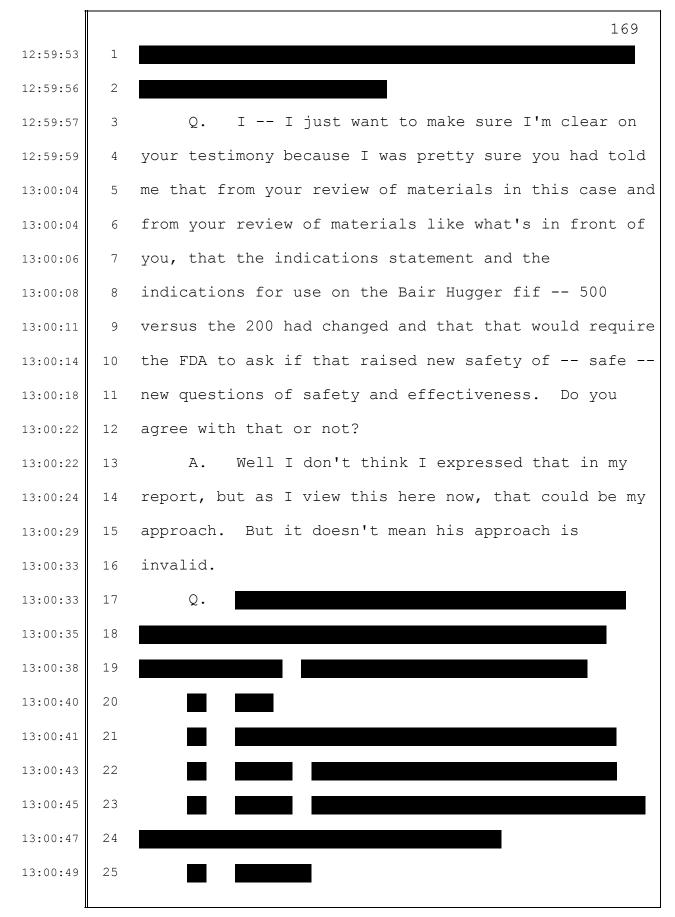
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134
             document, and what he's asked you to do is provide him
11:31:33
          1
11:31:35
             the article cited within the document so that he could
         2
             review that.
11:31:36
                        MR. BANKSTON: Okay. First of all, that's
11:31:36
         5
             not an objection. Second of all, I've already said
11:31:38
11:31:41
             three times put that document over there, I don't want
             to talk about that document any more.
11:31:43
         7
                        What we are talking about is what you came
11:31:45
                  Q.
             to in your report, which is a statement that there is
11:31:47
             valid scientific evidence of the Bair Hugger's use in
         10
11:31:48
             operating rooms and that that evidence existed at the
11:31:51
         11
             time of the Bair Hugger's clearance, and what I think
11:31:55
        12
             I'm understanding from you is that when I am here
11:31:57
        13
             today to ask you what evidence that is, what evidence
11:32:00
        14
             you're relying on to make that opinion, you are
11:32:03
        15
11:32:05
             telling me today in deposition you will not be able to
         16
             give me that answer.
11:32:07
         17
                        I'm not prepared to give you that answer --
11:32:08
         18
                  Α.
                        Okay.
11:32:10
         19
                  Q.
                        -- today.
11:32:11
         20
                  Α.
                        Thank you, sir.
11:32:11
                  Q.
         21
11:32:12
         22
                  Α.
                        Not to say it does not exist.
11:32:14
                               Just not going to disclose that today
         23
                  Q.
             in the deposition that we are here to talk about.
11:32:17
        24
         25
                  Α.
                        Right.
11:32:20
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		143
11:39:37	1	Q. I'm glad that
11:39:37	2	Interesting, because that's exactly where I
11:39:40	3	was going to be going, is that there are other things
11:39:42	4	with the device that can change besides technological
11:39:45	5	characteristics that would require the FDA to ask that
11:39:48	6	question again, is there a possible effect on the
11:39:49	7	safety, and one of those things that could change is
11:39:52	8	the indications for use.
11:39:53	9	A. Right. It may
11:39:54	10	But those are typically very significant
11:39:56	11	changes.
11:39:56	12	Q. Sure. So, for instance, say you had a
11:39:59	13	device and it had a a very significant change in
11:40:02	14	the indications for use. One day it's being used to
11:40:05	15	treat bunions, the next day it's in brain surgery.
11:40:09	16	Right? If you have that kind of significant change,
11:40:13	17	there's going to need to be the question asked does it
11:40:13	18	raise any safety or effectiveness questions.
11:40:13	19	A. Correct.
11:40:14	20	Q. If the IFUs are not changed, there's no
11:40:17	21	change in the IFUs, you don't have to ask if there's
11:40:21	22	any changes in safety and effectiveness for the IFUs
11:40:23	23	because those IFUs haven't changed.
11:40:25	24	A. Correct.
11:40:25	25	Q. You might have to ask it for other things

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156
                       You have to figure out what kind of device it
             to PMA.
11:50:44
          1
                  That would be your first step --
                        Well in -- in a very --
11:50:52
                  Α.
                        THE REPORTER: Just a moment.
11:50:52
                        THE WITNESS: We're stepping on each other.
11:50:52
                        THE REPORTER: You are. One at a time,
             please.
11:50:54
         7
                        Let's -- let's -- let's do it real simply in
11:50:54
                  Ο.
             little chunks from this doc.
11:50:55
                        I'll slow up as well. Right.
        10
                  Α.
11:50:56
11:51:00
                        How about this way? Is the product --
         11
                  Q.
                        The first thing you have to determine is is
11:51:00
        12
             the product a device.
11:51:02
        13
                        Yes, generally, in a -- in a very general
11:51:05
        14
                  Α.
11:51:08
        15
             manner.
11:51:08
                  Q.
                        Now devices can be subject to different FDA
        16
             regulations.
11:51:11
        17
11:51:12
                  Α.
                        Correct.
        18
                        One of those regulations is 510(k).
11:51:12
        19
                  Q.
        20
                  Α.
                        Correct.
11:51:15
                        One --
11:51:16
        21
                  Q.
11:51:17
        22
                        So then one of the next things you have to
             determine, is the device subject to 510(k)?
11:51:18
        23
                        Yes. You may --
11:51:22
        24
                  Α.
         25
                        That may be a front-end decision or will
11:51:24
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157
             have to remain as a back-end determination.
11:51:26
          1
                        Right. Okay. And then one of the next
11:51:29
          2
             things you might do when actually looking at the
11:51:32
             product -- and I'm not sure what order you might do
11:51:34
11:51:38
          5
             this, so if this is out of order, you know, I know --
11:51:39
             but one of the steps might be does the product have
             the same indication statement.
11:51:41
         7
                        Right.
11:51:44
                  Α.
                        And in this case you would conclude, no, it
11:51:45
                  Ο.
             doesn't, and then that would trigger you to ask the
11:51:49
        10
             question does that new indication for use present any
11:51:51
         11
             safety questions.
11:51:55
         12
                        Yes.
11:51:57
         13
                  Α.
11:51:57
                        That would be the proper way for a 510(k)
        14
                  Q.
             reviewer to go about looking at this product.
11:52:00
        15
11:52:02
                  Α.
                        Yes.
         16
11:52:02
         17
                  Q.
                        Okay.
                        MR. BANKSTON: Are we at --
11:52:08
         18
                        I'm not sure if my time is off of Central or
11:52:09
        19
11:52:12
             not. Are we near --
         20
                        Are we at noon? Is that where we're at, or
         21
11:52:15
        22
             are we at 11:00?
                        (Discussion off the stenographic record.)
11:52:15
         23
                        (Luncheon recess taken.)
11:52:16
         24
         25
```

		164
12:55:10	1	that would have to be answered is do those differences
12:55:13	2	pose any new questions of safety and effectiveness,
12:55:15	3	and the answer to that would be no; correct?
12:55:18	4	A. Well I think we're saying are the
12:55:22	5	indications different. Well I think there's different
12:55:24	6	wording, but within FDA's evaluation of devices, FDA
12:55:29	7	may be more allowing, if I can use that word, in
12:55:37	8	regard to differences in words or conditions than you
12:55:42	9	might think. For example, I said is this still used
12:55:47	10	in hospital? Yes/no. Is this outside of hospital
12:55:50	11	use? So it depends to what degree and level the FDA
12:55:54	12	evaluator considered those factors.
12:55:56	13	Q.
12:55:58	14	
12:56:01	15	
12:56:05	16	
12:56:08	17	
12:56:11	18	
12:56:15	19	
12:56:16	20	
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12:56:35	24	
12:56:37	25	



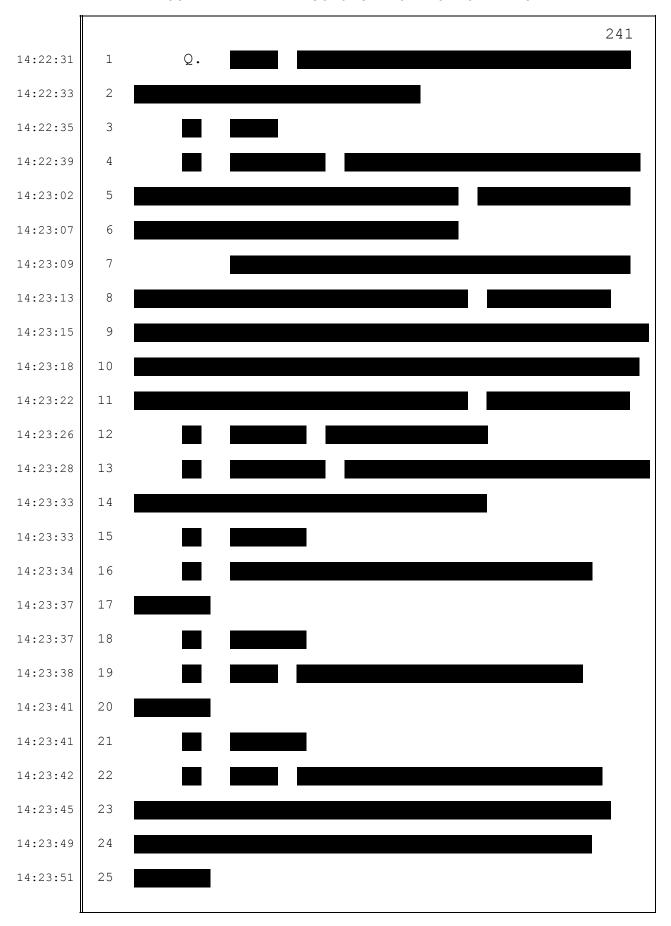
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190
                        Correct. So by your definition, you are not
                  Q.
13:22:09
          1
             going to be testifying in this case that there is a
13:22:13
         2
             reasonable assurance from a medical point of view that
13:22:17
             the device is safe.
13:22:18
         5
                  Α.
                        I don't think I address that in my report
13:22:22
13:22:24
             head on.
         7
                        And I -- uh-huh. And so I just want to
13:22:25
                  Q.
             confirm that's not an opinion you're going to be
13:22:28
             giving.
13:22:31
                        That's correct.
        10
                  Α.
13:22:31
13:22:31
                        Okay. I want to talk to you about your
         11
                  Q.
             opinion that 3M was appropriate in not considering the
13:22:35
        12
             MDR reports that were based on litigation because they
13:22:42
         13
             would not reasonably suggest to the company that there
13:22:46
        14
             was an event, in basic shorthand. Do you agree that's
13:22:48
         15
13:22:52
             essentially your opinion?
         16
                        MS. EATON: Let me object to the form of the
13:22:53
        17
             question.
13:22:54
         18
                        MR. BANKSTON:
                                       What's wrong on that one?
13:22:55
         19
                                    The word "considering."
         20
                        MS. EATON:
13:22:58
                        MR. BANKSTON:
13:22:58
         21
                                        Okay.
13:22:58
         22
                        MS. EATON: I object to that word. I don't
             think it's accurate.
13:23:00
         23
                        MR. BANKSTON: Okay. Let's -- let's get
13:23:00
         24
13:23:02
         25
             that from your report. That's in your report.
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		224
14:05:40	1	involvement in regulating the product line being
14:05:43	2	litigated.
14:05:48	3	A. Yes. I've done so before, and I have not
14:05:50	4	been prevented from doing so upon the opinion of the
14:05:53	5	Ethics Office. And again, I know it may be a big deal
14:05:59	6	to you, but this is even not even the subject of
14:06:02	7	this litigation for this particular device.
14:06:04	8	Q. Well let's let's just go ahead and focus
14:06:07	9	like a laser in on that, then, not just the device but
14:06:10	10	the issues we're talking about today.
14:06:11	11	When it comes to the allegations of airborne
14:06:14	12	contamination, did you have any personal involvement
14:06:15	13	at all at the FDA to reviewing those allegations?
14:06:19	14	A. No.
14:06:20	15	Q. Okay.
14:06:20	16	A. Well let me take that back. You know, it
14:06:24	17	was the subject of evaluation of FDA inspection, but I
14:06:29	18	believe that came along after I had departed from FDA.
14:06:31	19	Q. What I guess I'm asking you is: Have you
14:06:34	20	been involved in written communications between, say,
14:06:37	21	either Augustine or with your current client about
14:06:40	22	airborne contamination issues while you were
14:06:43	23	responsible for compliance at the FDA?
14:06:46	24	A. Airborne compliance
14:06:48	25	Airborne contamination generally or

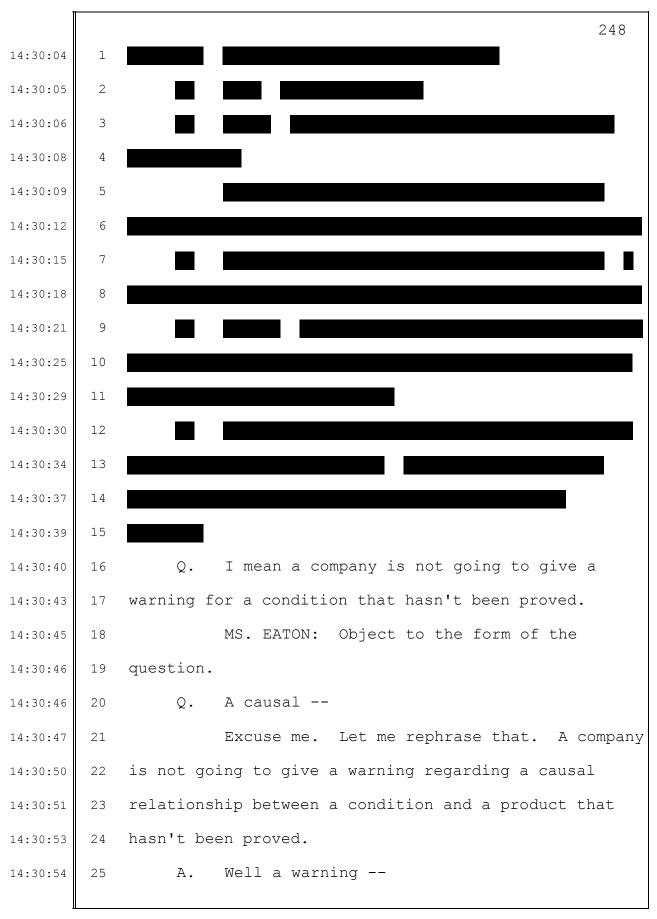
CASE 0:15-md-02666-JNE-DTS Doc. 764 Filed 09/12/17 Page 35 of 41 CONFIDENTIAL - SUBJECT TO PROTECTIVE ORDER

231 14:12:09 1 Α. 14:12:11 2 14:12:43 3 14:12:45 14:12:46 5 14:12:47 6 7 14:12:49 14:12:49 8 14:12:51 9 14:12:55 10 14:12:58 11 14:13:00 12 14:13:01 14:13:02 14 14:13:07 15 14:13:07 16 14:13:07 17 14:13:09 18 14:13:12 19 20 14:13:12 14:13:14 21 14:13:14 22 14:13:18 23 14:13:21 24 14:13:22 25

CASE 0:15-md-02666-JNE-DTS Doc. 764 Filed 09/12/17 Page 36 of 41 CONFIDENTIAL - SUBJECT TO PROTECTIVE ORDER

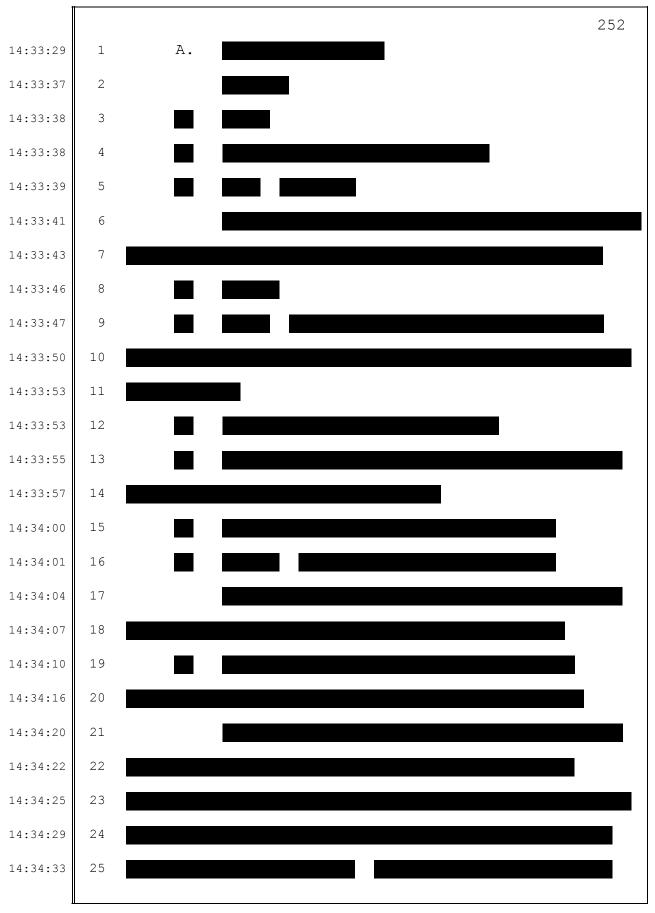


		247
14:28:44	1	A. Well it's all within the
14:28:47	2	Perhaps, perhaps not, because it's all
14:28:49	3	within the context of the company's risk analysis,
14:28:54	4	risk management analysis whether or not there's a
14:28:58	5	credible association of the device to to the event.
14:29:06	6	So if the company has conducted analysis or has
14:29:10	7	otherwise assessed that and they've decided, no, it
14:29:14	8	really doesn't apply at this point in time, you know,
14:29:16	9	we don't have enough data, you know, they may decide
14:29:19	10	it's not yet time for a warning.
14:29:20	11	Q. Okay. And that kind of analysis that you're
14:29:23	12	talking about, that has to be done irrespective of if
14:29:26	13	there are MDR reports or not.
14:29:28	14	A. Well the whole the
14:29:30	15	Right. Well, a device that's not yet
14:29:33	16	marketed, there is no experience, there are no MDR
14:29:35	17	reports, so the labeling is based upon those factors I
14:29:38	18	mentioned before: prior similar devices, literature
14:29:43	19	related to the device, the risk management analysis
14:29:47	20	which may lead to labeling of the device. So it's a
14:29:51	21	number of things.
14:29:51	22	Q.
14:29:54	23	
14:29:57	24	
14:30:01	25	



CASE 0:15-md-02666-JNE-DTS Doc. 764 Filed 09/12/17 Page 39 of 41

CONFIDENTIAL - SUBJECT TO PROTECTIVE ORDER



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271
             studies, --
15:00:47
          1
15:00:48
          2
                   Q.
                        Okay.
                        -- and -- and that's simply the case.
15:00:49
             just, for example, comment on Dr. David's approach to
15:00:52
15:00:58
          5
             analyzing the literature indicating that he appeared
15:01:01
             to be very selective in what he looked at.
                        All right. You have -- you have no training
         7
15:01:04
                   Q.
             as an orthopedic physician; correct?
15:01:07
                        No.
15:01:08
                   Α.
                        Okay. You have no training or --
15:01:09
         10
                   Q.
15:01:13
                        Not an infectious disease doctor; right?
         11
                        I'm not an infectious disease doctor.
15:01:15
         12
                   Α.
                        All right. One of --
15:01:18
                   Q.
         13
                        You've got an opinion in your case
15:01:19
         14
             addressing Dr. William Jarvis, right, and his
15:01:20
         15
15:01:23
         16
             opinions?
                   Α.
                        Related to HICPAC.
15:01:24
         17
15:01:27
                        Right. Do you feel qualified to address Dr.
         18
                   0.
             Jarvis's opinions as -- his clinical conclusions as an
15:01:32
         19
             infectious disease doctor?
15:01:32
         20
                        No.
15:01:34
         21
                   Α.
15:01:34
         22
                   Q.
                        Okay. You're not an expert in filtration.
15:01:37
                        No, I wouldn't call myself an expert. I
         23
                   Α.
             used it in the course of my laboratory work. But no.
15:01:40
         24
15:01:43
         25
                   Q.
                        You're not an expert in what we would call
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		364
16:48:41	1	A. No.
16:48:41	2	Q. Okay.
16:48:41	3	A. No.
16:48:41	4	Q. For instance, you're not a biomedical
16:48:43	5	engineer; are you?
16:48:44	6	A. No. No. My my master's degree is in
16:48:47	7	physiology with an emphasis in biomedical
16:48:51	8	engineering,
16:48:51	9	Q. Okay.
16:48:51	10	A but it's not an engineering degree.
16:48:53	11	Q. Now Dr. David, who is a biomedical
16:48:55	12	engineer, gave an opinion that for each of these
16:48:57	13	devices, they are most likely safer and as effective
16:49:00	14	as the Bair Hugger. You aren't going to be giving
16:49:03	15	opinions to the contrary based on reasonable
16:49:06	16	engineering certainty; are you?
16:49:08	17	A. No. But he provides no foundation for his
16:49:11	18	statement.
16:49:11	19	Q. I understand you have criticisms. I'm not
16:49:15	20	asking you that. What I'm asking is a very simple
16:49:18	21	question, is if you can give me an opinion to a degree
16:49:19	22	of medical or scientific certainty that these devices
16:49:22	23	are not safer and as effective than the Bair Hugger.
16:49:28	24	A. I have don't have that in my report.
16:49:30	25	Q. Okay. You you understand what the
	I	